

**FEC
FORM 3X****REPORT OF RECEIPTS
AND DISBURSEMENTS**
For Other Than An Authorized Committee

Office Use Only

1. NAME OF COMMITTEE (in full) TYPE OR PRINT ▼ Example: If typing, type over the lines. 12FE4M5

Securities Industry and Financial Markets Association Political Action Committee

ADDRESS (number and street) ▼

1101 New York Avenue, NW

8th Floor

☐ Check if different than previously reported. (ACC)

Washington

DC

20005

2. FEC IDENTIFICATION NUMBER ▼ CITY ▲ STATE ▲ ZIP CODE ▲

C C00431312

3. IS THIS
REPORT☒NEW
(N)

OR

☐AMENDED
(A)

4. TYPE OF REPORT

(Choose One)

(a) Quarterly Reports:

☐ April 15
Quarterly Report (Q1)☐ July 15
Quarterly Report (Q2)☐ October 15
Quarterly Report (Q3)☐ January 31
Year-End Report (YE)☐ July 31 Mid-Year
Report (Non-election
Year Only) (MY)☐ Termination Report
(TER)(b) Monthly
Report
Due On:☐ Feb 20 (M2)☐ May 20 (M5)☐ Aug 20 (M8)☐ Nov 20 (M11)
(Non-Election
Year Only)☐ Mar 20 (M3)☐ Jun 20 (M6)☒ Sep 20 (M9)☐ Dec 20 (M12)
(Non-Election
Year Only)☐ Apr 20 (M4)☐ Jul 20 (M7)☐ Oct 20 (M10)☐ Jan 31 (YE)

(c) 12-Day

PRE-Election

Report for the:

☐ Primary (12P)☐ Convention (12C)☐ General (12G)☐ Special (12S)☐ Runoff (12R)

Election on

M M / D D / Y Y Y Y Y Y

in the
State of

(d) 30-Day

POST-Election

Report for the:

☐ General (30G)☐ Runoff (30R)☐ Special (30S)

Election on

M M / D D / Y Y Y Y Y Y

in the
State of

5. Covering Period 08 / 01 / 2016 through 08 / 31 / 2016

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer Mr. Kenneth E. Bentsen Jr.

Signature of Treasurer Mr. Kenneth E. Bentsen Jr.

[Electronically Filed]

Date

09

20

2016

NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C. §437g.

Office
Use
Only**FEC FORM 3X**
Rev. 12/2004

SUMMARY PAGE OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 02/2003)

Page 2

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period: From: M M / D D / Y Y Y Y Y Y 08 / 01 / 2016 To: M M / D D / Y Y Y Y Y Y 08 / 31 / 2016

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1, Y Y Y Y Y Y 2016		95134.17
(b) Cash on Hand at Beginning of Reporting Period.....	76212.88	
(c) Total Receipts (from Line 19)	44065.19	287099.03
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B).....	120278.07	382233.20
7. Total Disbursements (from Line 31)	5682.30	267637.43
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	114595.77	114595.77
9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)	0.00	
10. Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)	0.00	

☒ This committee has qualified as a multicandidate committee. (see FEC FORM 1M)

For further information contact:

Federal Election Commission
999 E Street, NW
Washington, DC 20463

Toll Free 800-424-9530
Local 202-694-1100

DETAILED SUMMARY PAGE

of Receipts

FEC Form 3X (Rev. 06/2004)

Page 3

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period:

From:

 M M / D D / Y Y Y Y Y
 08 / 01 / 2016

To:

 M M / D D / Y Y Y Y Y
 08 / 31 / 2016
I. Receipts
COLUMN A
Total This Period
COLUMN B
Calendar Year-to-Date

11. Contributions (other than loans) From:

(a) Individuals/Persons Other

Than Political Committees

(i) Itemized (use Schedule A).....

30175.30

206390.19

(ii) Unitemized

707.59

4711.83

(iii) TOTAL (add

Lines 11(a)(i) and (ii)..... ▶

30882.89

211102.02

(b) Political Party Committees

0.00

0.00

(c) Other Political Committees

(such as PACs).....

12500.00

73500.00

(d) Total Contributions (add Lines

11(a)(iii), (b), and (c)) (Carry

Totals to Line 33, page 5)

43382.89

284602.02

12. Transfers From Affiliated/Other

Party Committees.....

0.00

0.00

13. All Loans Received

0.00

0.00

14. Loan Repayments Received.....

0.00

0.00

15. Offsets To Operating Expenditures

(Refunds, Rebates, etc.)

(Carry Totals to Line 37, page 5).....

682.30

2497.01

16. Refunds of Contributions Made

to Federal Candidates and Other

Political Committees.....

0.00

0.00

17. Other Federal Receipts

(Dividends, Interest, etc.).....

0.00

0.00

18. Transfers from Non-Federal and Levin Funds

(a) Non-Federal Account

(from Schedule H3)

0.00

0.00

(b) Levin Funds (from Schedule H5)

0.00

0.00

(c) Total Transfers (add 18(a) and 18(b))..

0.00

0.00

19. Total Receipts (add Lines 11(d),

12, 13, 14, 15, 16, 17, and 18(c))..... ▶

44065.19

287099.03

20. Total Federal Receipts

(subtract Line 18(c) from Line 19)

44065.19

287099.03

DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 4

II. Disbursements	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:		
(a) Allocated Federal/Non-Federal Activity (from Schedule H4)		
(i) Federal Share	0.00	0.00
(ii) Non-Federal Share.....	0.00	0.00
(b) Other Federal Operating Expenditures	682.30	2637.43
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b))	682.30	2637.43
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	5000.00	265000.00
24. Independent Expenditures (use Schedule E)	0.00	0.00
25. Coordinated Party Expenditures (2 U.S.C. §441a(d)) (use Schedule F).....	0.00	0.00
26. Loan Repayments Made.....	0.00	0.00
27. Loans Made.....	0.00	0.00
28. Refunds of Contributions To:		
(a) Individuals/Persons Other Than Political Committees	0.00	0.00
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs).....	0.00	0.00
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c)).....	0.00	0.00
29. Other Disbursements	0.00	0.00
30. Federal Election Activity (2 U.S.C. §431(20))		
(a) Allocated Federal Election Activity (from Schedule H6)		
(i) Federal Share	0.00	0.00
(ii) "Levin" Share.....	0.00	0.00
(b) Federal Election Activity Paid Entirely With Federal Funds	0.00	0.00
(c) Total Federal Election Activity (add .. Lines 30(a)(i), 30(a)(ii) and 30(b))....	0.00	0.00
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c)) ..	5682.30	267637.43
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	5682.30	267637.43

DETAILED SUMMARY PAGE
of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 5

III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33. Total Contributions (other than loans) (from Line 11(d), page 3)	43382.89	284602.02
34. Total Contribution Refunds (from Line 28(d))	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33)	43382.89	284602.02
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)) ►	682.30	2637.43
37. Offsets to Operating Expenditures (from Line 15, page 3).....	682.30	2497.01
38. Net Operating Expenditures (subtract Line 37 from Line 36) ►	0.00	140.42

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 6 OF 35

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Dan Arnold

Mailing Address 1 Beacon St
 FL 22

City State Zip Code
 Boston MA 02108-3106

FEC ID number of contributing
federal political committee.

C

Name of Employer

LPL Financial

Occupation

President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3000.00

Date of Receipt

08 / 23 / 2016

Transaction ID : E0D300C2315047899E70

Amount of Each Receipt this Period

3000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Kenneth E. Bentsen Jr.

Mailing Address 1101 New York Ave NW
 8th Floor

City State Zip Code
 Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

President & CEO

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3462.30

Date of Receipt

08 / 03 / 2016

Transaction ID : 20160729165258-1000

Amount of Each Receipt this Period

192.35

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Kenneth E. Bentsen Jr.

Mailing Address 1101 New York Ave NW
 8th Floor

City State Zip Code
 Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

President & CEO

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3462.30

Date of Receipt

08 / 17 / 2016

Transaction ID : 20160815115257-1000

Amount of Each Receipt this Period

192.35

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

3384.70

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 7 OF 35

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Kenneth E. Bentsen Jr.

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

President & CEO

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3462.30

Date of Receipt

08 / 31 / 2016

Transaction ID : 2016082910560-1000

Amount of Each Receipt this Period

192.35

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Richard Bindler

Mailing Address 1345 Avenue Of The Americas

City State Zip Code
New York NY 10105-0302

FEC ID number of contributing
federal political committee.

C

Name of Employer

Alliance Bernstein

Occupation

Senior Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

575.00

Date of Receipt

08 / 02 / 2016

Transaction ID : BCA31EECA61DB332D87

Amount of Each Receipt this Period

575.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Lisa J. Bleier

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Fed Gov't Rel & AGC

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

346.14

Date of Receipt

08 / 03 / 2016

Transaction ID : 20160729165258-1001

Amount of Each Receipt this Period

19.23

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

786.58

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTSUse separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

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<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Lisa J. BleierMailing Address 1101 New York Ave NW
8th Floor

City	State	Zip Code
Washington	DC	20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Fed Gov't Rel & AGC

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

346.14

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
08		17		2016

Transaction ID : 20160815115257-1001

Amount of Each Receipt this Period

19.23

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Lisa J. BleierMailing Address 1101 New York Ave NW
8th Floor

City	State	Zip Code
Washington	DC	20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Fed Gov't Rel & AGC

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

346.14

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
08		31		2016

Transaction ID : 2016082910560-1001

Amount of Each Receipt this Period

19.23

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Ananias BlockerMailing Address 1101 New York Ave NW
8th Floor

City	State	Zip Code
Washington	DC	20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Exec VP, Pub Pol & Advoc

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
08		03		2016

Transaction ID : 20160729165258-1002

Amount of Each Receipt this Period

300.00

☐ Memo Item**SUBTOTAL** of Receipts This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

338.46

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTSUse separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

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<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Ananias BlockerMailing Address 1101 New York Ave NW
8th Floor

City	State	Zip Code
Washington	DC	20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Exec VP, Pub Pol & Advoc

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
08		17		2016

Transaction ID : 20160815115257-1002

Amount of Each Receipt this Period

200.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Charlottle Bradbury

Mailing Address 4 Edgehill Rd

City	State	Zip Code
Little Rock	AR	72207-5444

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Homemaker

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
08		16		2016

Transaction ID : 30EA6E6D1196460796E7

Amount of Each Receipt this Period

5000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Curt BradburyMailing Address PO Box 3507
111 Center St

City	State	Zip Code
Little Rock	AR	72203-3507

FEC ID number of contributing
federal political committee.

C

Name of Employer

Stephens Inc.

Occupation

Chief Operating Officer

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
08		16		2016

Transaction ID : 3E0786C5AB614170BEE0

Amount of Each Receipt this Period

5000.00

☐ Memo Item**SUBTOTAL** of Receipts This Page (optional)..... ►

10200.00

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

FOR LINE NUMBER: PAGE 10 OF 35

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Kyle L. Brandon

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Dir of Research

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1730.70

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 03 / 2016

Transaction ID : 20160729165258-1003

Amount of Each Receipt this Period

96.15

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Kyle L. Brandon

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Dir of Research

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1730.70

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 17 / 2016

Transaction ID : 20160815115257-1003

Amount of Each Receipt this Period

96.15

☐ Memo Item

Full Name (Last, First, Middle Initial)

c. Kyle L. Brandon

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Dir of Research

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1730.70

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 31 / 2016

Transaction ID : 2016082910560-1002

Amount of Each Receipt this Period

96.15

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

288.45

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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FOR LINE NUMBER:
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PAGE 11 OF 35

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Timothy W. Cameron

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD Asset Mgmt Group

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2000.00

Date of Receipt

08 / 02 / 2016

Transaction ID : 9E118AE51A3F45128BA8

Amount of Each Receipt this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Kimberly H. Chamberlain

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

08 / 03 / 2016

Transaction ID : 20160729165258-1004

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Kimberly H. Chamberlain

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

08 / 17 / 2016

Transaction ID : 20160815115257-1004

Amount of Each Receipt this Period

38.50

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

1077.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 12 OF 35

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Kimberly H. Chamberlain

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

08 / 31 / 2016

Transaction ID : 2016082910560-1003

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Brahm Cramer

Mailing Address 1345 Avenue Of The Americas

City State Zip Code
New York NY 10105-0302

FEC ID number of contributing
federal political committee.

C

Name of Employer

Alliance Bernstein

Occupation

Co-Chief Investment Officer of Real Es

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

575.00

Date of Receipt

08 / 02 / 2016

Transaction ID : 1010A29C47AF587BAE2

Amount of Each Receipt this Period

575.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Laurence Cranch

Mailing Address 1345 Avenue Of The Americas

City State Zip Code
New York NY 10105-0302

FEC ID number of contributing
federal political committee.

C

Name of Employer

Alliance Bernstein

Occupation

General Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

575.00

Date of Receipt

08 / 02 / 2016

Transaction ID : B48BD58446D68657698

Amount of Each Receipt this Period

575.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

1188.50

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTSUse separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 13 OF 35

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Cheryl L. CrispenMailing Address 1101 New York Ave NW
8th Floor

City	State	Zip Code
Washington	DC	20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

EVP, Communication & Mktg

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1730.70

Date of Receipt

M M	/	D D	/	Y Y Y Y
08		03		2016

Transaction ID : 20160729165258-1006

Amount of Each Receipt this Period

96.15

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Cheryl L. CrispenMailing Address 1101 New York Ave NW
8th Floor

City	State	Zip Code
Washington	DC	20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

EVP, Communication & Mktg

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1730.70

Date of Receipt

M M	/	D D	/	Y Y Y Y
08		17		2016

Transaction ID : 20160815115257-1006

Amount of Each Receipt this Period

96.15

☐ Memo Item

Full Name (Last, First, Middle Initial)

c. Cheryl L. CrispenMailing Address 1101 New York Ave NW
8th Floor

City	State	Zip Code
Washington	DC	20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

EVP, Communication & Mktg

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1730.70

Date of Receipt

M M	/	D D	/	Y Y Y Y
08		31		2016

Transaction ID : 2016082910560-1005

Amount of Each Receipt this Period

96.15

☐ Memo Item**SUBTOTAL** of Receipts This Page (optional)..... ►

288.45

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 14 OF 35

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Ali Dibadj

Mailing Address 1345 Avenue of the Americas

City
New York

State
NY

Zip Code
10105-0302

FEC ID number of contributing
federal political committee.

C

Name of Employer

Alliance Bernstein

Occupation

Analyst

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

575.00

Date of Receipt

08 / 02 / 2016

Transaction ID : 1EF59EEA6989F3EB5BB

Amount of Each Receipt this Period

575.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Bradley G. Edgell

Mailing Address 1101 New York Ave NW
8th Floor

City
Washington

State
DC

Zip Code
20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Fed Gov't Relations

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

08 / 03 / 2016

Transaction ID : 20160729165258-1007

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

c. Bradley G. Edgell

Mailing Address 1101 New York Ave NW
8th Floor

City
Washington

State
DC

Zip Code
20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Fed Gov't Relations

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

08 / 17 / 2016

Transaction ID : 20160815115257-1007

Amount of Each Receipt this Period

38.50

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

652.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 15 OF 35

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Bradley G. Edgell

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Fed Gov't Relations

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

08 / 31 / 2016

Transaction ID : 2016082910560-1006

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Tracy H. Eichler

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Private Client Group

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

709.89

Date of Receipt

08 / 03 / 2016

Transaction ID : 20160729165258-1008

Amount of Each Receipt this Period

43.48

☐ Memo Item

Full Name (Last, First, Middle Initial)

c. Tracy H. Eichler

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Private Client Group

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

709.89

Date of Receipt

08 / 17 / 2016

Transaction ID : 20160815115257-1008

Amount of Each Receipt this Period

43.48

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

125.46

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 16 OF 35

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Tracy H. Eichler

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Private Client Group

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

709.89

Date of Receipt

08 / 31 / 2016

Transaction ID : 2016082910560-1007

Amount of Each Receipt this Period

43.48

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Lisa Fues

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, CEO's Office

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

346.14

Date of Receipt

08 / 03 / 2016

Transaction ID : 20160729165258-1010

Amount of Each Receipt this Period

19.23

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Lisa Fues

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, CEO's Office

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

346.14

Date of Receipt

08 / 17 / 2016

Transaction ID : 20160815115257-1010

Amount of Each Receipt this Period

19.23

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

81.94

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 17 OF 35

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Lisa Fues

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, CEO's Office

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

346.14

Date of Receipt

08 / 31 / 2016

Transaction ID : 2016082910560-1009

Amount of Each Receipt this Period

19.23

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Marin Gibson

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1730.70

Date of Receipt

08 / 03 / 2016

Transaction ID : 20160729165258-1011

Amount of Each Receipt this Period

96.15

☐ Memo Item

Full Name (Last, First, Middle Initial)

c. Marin Gibson

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1730.70

Date of Receipt

08 / 17 / 2016

Transaction ID : 20160815115257-1011

Amount of Each Receipt this Period

96.15

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

211.53

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 18 OF 35

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Marin Gibson

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1730.70

Date of Receipt

08 / 31 / 2016

Transaction ID : 2016082910560-1010

Amount of Each Receipt this Period

96.15

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. James Gingrich

Mailing Address 1345 Avenue Of The Americas

City State Zip Code
New York NY 10105-0302

FEC ID number of contributing
federal political committee.

C

Name of Employer

Alliance Bernstein

Occupation

COO

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

575.00

Date of Receipt

08 / 02 / 2016

Transaction ID : 1FCEAF9DDE80C50F669

Amount of Each Receipt this Period

575.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Robert Keith

Mailing Address 1345 Avenue Of The Americas

City State Zip Code
New York NY 10105-0302

FEC ID number of contributing
federal political committee.

C

Name of Employer

AllianceBernstein L.P.

Occupation

Head of Institutional and Retail Clie

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

575.00

Date of Receipt

08 / 02 / 2016

Transaction ID : A4E54E14008FEB92CA2

Amount of Each Receipt this Period

575.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

1246.15

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 19 OF 35

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. James P. Kerr

Mailing Address 8 3rd St NW

City

Great Falls

State

MT

Zip Code

59404-2869

FEC ID number of contributing
federal political committee.

C

Name of Employer

D.A. Davidson & Company

Occupation

CEO

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.00

Date of Receipt

08 / 02 / 2016

Transaction ID : FEDEAAE8C66E4C379315

Amount of Each Receipt this Period

2500.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Christopher B. Killian

Mailing Address 120 Broadway
35th Floor

City

New York

State

NY

Zip Code

10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Head of Securitization

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

08 / 03 / 2016

Transaction ID : 20160729165258-1013

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

c. Christopher B. Killian

Mailing Address 120 Broadway
35th Floor

City

New York

State

NY

Zip Code

10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Head of Securitization

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

08 / 17 / 2016

Transaction ID : 20160815115257-1013

Amount of Each Receipt this Period

38.50

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

2577.00

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTSUse separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 20 OF 35

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Christopher B. KillianMailing Address 120 Broadway
35th FloorCity State Zip Code
New York NY 10271FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Head of Securitization

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

M	M	/	D	D	/	Y	Y	Y	Y
0	8		3	1		2	0	1	6

Transaction ID : 2016082910560-1012

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. David B. KrasnerMailing Address 120 Broadway
35th FloorCity State Zip Code
New York NY 10271FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Chief Fin/Admin Officer

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3462.30

Date of Receipt

M	M	/	D	D	/	Y	Y	Y	Y
0	8		0	3		2	0	1	6

Transaction ID : 20160729165258-1014

Amount of Each Receipt this Period

192.35

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. David B. KrasnerMailing Address 120 Broadway
35th FloorCity State Zip Code
New York NY 10271FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Chief Fin/Admin Officer

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3462.30

Date of Receipt

M	M	/	D	D	/	Y	Y	Y	Y
0	8		1	7		2	0	1	6

Transaction ID : 20160815115257-1014

Amount of Each Receipt this Period

192.35

☐ Memo Item**SUBTOTAL** of Receipts This Page (optional)..... ►

423.20

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 21 OF 35

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. David B. Krasner

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Chief Fin/Admin Officer

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3462.30

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 31 / 2016

Transaction ID : 2016082910560-1013

Amount of Each Receipt this Period

192.35

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Nancy J. Lancia

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, State Gov Relations

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 03 / 2016

Transaction ID : 20160729165258-1015

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

c. Nancy J. Lancia

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, State Gov Relations

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 17 / 2016

Transaction ID : 20160815115257-1015

Amount of Each Receipt this Period

38.50

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

269.35

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 22 OF 35

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Nancy J. Lancia

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, State Gov Relations

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 31 / 2016

Transaction ID : 2016082910560-1014

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Theodore Lazo

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 03 / 2016

Transaction ID : 20160729165258-1016

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Theodore Lazo

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 17 / 2016

Transaction ID : 20160815115257-1016

Amount of Each Receipt this Period

38.50

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

115.50

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
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(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Theodore Lazo

Mailing Address 1101 New York Ave NW
 8th Floor

City State Zip Code
 Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
 08 31 2016

Transaction ID : 2016082910560-1015

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Daniel Loewy

Mailing Address 1345 Avenue Of The Americas

City State Zip Code
 New York NY 10105-0302

FEC ID number of contributing
federal political committee.

C

Name of Employer

AllianceBernstein L.P.

Occupation

Director Dynamic Asset Allocation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

575.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
 08 02 2016

Transaction ID : 2285EF775866E875378

Amount of Each Receipt this Period

575.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Mark Manley

Mailing Address 1345 Avenue Of The Americas

City State Zip Code
 New York NY 10105-0302

FEC ID number of contributing
federal political committee.

C

Name of Employer

AllianceBernstein L.P.

Occupation

Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

525.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
 08 02 2016

Transaction ID : D2154DA641700A845BA

Amount of Each Receipt this Period

525.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

1138.50

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
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☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Laura A. Martin

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, AGC AMG

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 03 / 2016

Transaction ID : 20160729165258-1017

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Laura A. Martin

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, AGC AMG

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 17 / 2016

Transaction ID : 20160815115257-1017

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Laura A. Martin

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, AGC AMG

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 31 / 2016

Transaction ID : 2016082910560-1016

Amount of Each Receipt this Period

38.50

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

115.50

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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PAGE 25 OF 35

☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Carter K. McDowell

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

08 / 03 / 2016

Transaction ID : 20160729165258-1018

Amount of Each Receipt this Period

288.46

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Carter K. McDowell

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

08 / 17 / 2016

Transaction ID : 20160815115257-1018

Amount of Each Receipt this Period

288.46

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Carter K. McDowell

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

08 / 31 / 2016

Transaction ID : 2016082910560-1017

Amount of Each Receipt this Period

96.18

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

673.10

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Gregory McShea

Mailing Address 1801 Market St

City

Philadelphia

State

PA

Zip Code

19103-1602

FEC ID number of contributing
federal political committee.

C

Name of Employer

Janney Montgomery Scott LLC

Occupation

General Counsel

Receipt For:

☐ Primary

☐ General

☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

08 / 30 / 2016

Transaction ID : 49A957F4742644DAA3E0

Amount of Each Receipt this Period

500.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Jim A. Moerkerke

Mailing Address 8 3rd St NW

Davidson Bldg

City

Great Falls

State

MT

Zip Code

59404-2869

FEC ID number of contributing
federal political committee.

C

Name of Employer

Davidson Companies

Occupation

Sr. VP

Receipt For:

☐ Primary

☐ General

☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

08 / 01 / 2016

Transaction ID : 915D3CDCFA6D4961ADD6

Amount of Each Receipt this Period

250.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

c. Jay S Nydick

Mailing Address 1345 Avenue Of The Americas

City

New York

State

NY

Zip Code

10105-0302

FEC ID number of contributing
federal political committee.

C

Name of Employer

Alliance Bernstein

Occupation

Co-Chief Investment Officer of Real Es

Receipt For:

☐ Primary

☐ General

☐ Other (specify) ▼

Aggregate Year-to-Date ▼

575.00

Date of Receipt

08 / 02 / 2016

Transaction ID : 47BEAA7D6124DC0C1B4

Amount of Each Receipt this Period

575.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

1325.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
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PAGE 27 OF 35

☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Joseph Gerard Paul

Mailing Address 1345 Avenue of the Americas

City

New York

State

NY

Zip Code

10105-0302

FEC ID number of contributing
federal political committee.

C

Name of Employer

Alliance Bernstein

Occupation

Chief Investment Officer, Strategic Eq

Receipt For:

☐ Primary

☐ General

☐ Other (specify) ▼

Aggregate Year-to-Date ▼

575.00

Date of Receipt

08 / 02 / 2016

Transaction ID : 7164B9A723FF0086214

Amount of Each Receipt this Period

575.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Douglas Peebles

Mailing Address 1345 Avenue Of The Americas

City

New York

State

NY

Zip Code

10105-0302

FEC ID number of contributing
federal political committee.

C

Name of Employer

Alliance Bernstein

Occupation

Chief Investment Officer Fixed Income

Receipt For:

☐ Primary

☐ General

☐ Other (specify) ▼

Aggregate Year-to-Date ▼

575.00

Date of Receipt

08 / 02 / 2016

Transaction ID : A7420A6C8057FF213A4

Amount of Each Receipt this Period

575.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Thomas F. Price

Mailing Address 120 Broadway
35th Floor

City

New York

State

NY

Zip Code

10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Tech & Operations

Receipt For:

☐ Primary

☐ General

☐ Other (specify) ▼

Aggregate Year-to-Date ▼

865.97

Date of Receipt

08 / 03 / 2016

Transaction ID : 20160729165258-1020

Amount of Each Receipt this Period

43.48

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

1193.48

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
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☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Thomas F. Price

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Tech & Operations

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

865.97

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 17 / 2016

Transaction ID : 20160815115257-1020

Amount of Each Receipt this Period

43.48

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Thomas F. Price

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Tech & Operations

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

865.97

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 31 / 2016

Transaction ID : 2016082910560-1019

Amount of Each Receipt this Period

141.75

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Kevin Simms

Mailing Address 1345 Avenue Of The Americas

City State Zip Code
New York NY 10105-0302

FEC ID number of contributing
federal political committee.

C

Name of Employer

Alliance Bernstein

Occupation

Chief Investment Officer of Global and

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

575.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 02 / 2016

Transaction ID : 20726B4E9ABC476B1C0

Amount of Each Receipt this Period

575.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

760.23

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Karl Kenneth Sprules

Mailing Address 1345 Avenue Of The Americas

City
New York

State Zip Code
NY 10105-0302

FEC ID number of contributing
federal political committee.

C

Name of Employer

Alliance Bernstein

Occupation

Deputy Chief Technology Officer

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

575.00

Date of Receipt

08 / 02 / 2016

Transaction ID : 130B762794F03FEB632

Amount of Each Receipt this Period

575.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Thomas P. Tierney

Mailing Address 120 Broadway
35th Floor

City
New York

State Zip Code
NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Member Engagement

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

381.28

Date of Receipt

08 / 03 / 2016

Transaction ID : 20160729165258-1022

Amount of Each Receipt this Period

21.74

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Thomas P. Tierney

Mailing Address 120 Broadway
35th Floor

City
New York

State Zip Code
NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Member Engagement

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

381.28

Date of Receipt

08 / 17 / 2016

Transaction ID : 20160815115257-1022

Amount of Each Receipt this Period

21.74

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

618.48

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
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☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Thomas P. Tierney

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Member Engagement

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

381.28

Date of Receipt

08 / 31 / 2016

Transaction ID : 2016082910560-1021

Amount of Each Receipt this Period

21.74

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Robert Van Brugge

Mailing Address 1345 Avenue Of The Americas

City State Zip Code
New York NY 10105-0302

FEC ID number of contributing
federal political committee.

C

Name of Employer

Alliance Bernstein

Occupation

Chairman and CEO, SCB LLC

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

575.00

Date of Receipt

08 / 02 / 2016

Transaction ID : F8515F094160C9D17FC

Amount of Each Receipt this Period

575.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. James P Wallin

Mailing Address 1345 Avenue of the Americas

City State Zip Code
New York NY 10105-0302

FEC ID number of contributing
federal political committee.

C

Name of Employer

AllianceBernstein L.P.

Occupation

Senior VP

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

08 / 01 / 2016

Transaction ID : 5312955B2C8F4509B375

Amount of Each Receipt this Period

500.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

1096.74

30175.30

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

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☐ 11a ☐ 11b ☒ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Branch Bank & Trust Political Action Committee

Mailing Address 150 South Stratford Road
Suite 401

City Winston Salem State NC Zip Code 27104

FEC ID number of contributing
federal political committee.

C C00075291

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

08 / 02 / 2016

Transaction ID : E48C5710849348FD9885

Amount of Each Receipt this Period

5000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Hsbc North America Political Action Committee

Mailing Address 1401 I Street NW Suite 500

City Washington State DC Zip Code 20005

FEC ID number of contributing
federal political committee.

C C00033423

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.00

Date of Receipt

08 / 11 / 2016

Transaction ID : 1AD2DE6D4681467BA837

Amount of Each Receipt this Period

2500.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Ubs Americas Inc. Political Action Committee (UBS PAC)

Mailing Address 677 Washington Boulevard
C/O Per Dyrvik

City Stamford State CT Zip Code 06901

FEC ID number of contributing
federal political committee.

C C00012245

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

08 / 02 / 2016

Transaction ID : 03E480B7BF9F452A9B0D

Amount of Each Receipt this Period

5000.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

12500.00

12500.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 32 OF 35

☐ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☒ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. SIFMA

Mailing Address 1101 New York Avenue, NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2497.01

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 29 / 2016

Transaction ID : D4B496B5C1DF4F4495DE

Amount of Each Receipt this Period

682.30

☐ Memo Item

Reimbursement of Bank Fees

Full Name (Last, First, Middle Initial)

B.

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

☐ Memo Item

Full Name (Last, First, Middle Initial)

C.

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

682.30

682.30

SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTSUse separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

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<input checked="" type="checkbox"/> 21b	<input type="checkbox"/> 22	<input type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. PNC Bank

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
08		01		2016

Mailing Address 1400 K Street, NW

City	State	Zip Code
Washington	DC	20005

Purpose of Disbursement
Bank Fee

001

Candidate Name

Category/
Type

Office Sought:	<input type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For:	<input type="checkbox"/> Primary	<input type="checkbox"/> General
	<input type="checkbox"/> Other (specify) ▼	

State: District:

Transaction ID : 915775BA21405B9DEE1

Amount of Each Disbursement this Period

16.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. PNC Bank

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
08		02		2016

Mailing Address 1400 K Street, NW

City	State	Zip Code
Washington	DC	20005

Purpose of Disbursement
Bank Fees

001

Candidate Name

Category/
Type

Office Sought:	<input type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For:	<input type="checkbox"/> Primary	<input type="checkbox"/> General
	<input type="checkbox"/> Other (specify) ▼	

State: District:

Transaction ID : A69B41B7F5EFB907175

Amount of Each Disbursement this Period

186.35

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. PNC Bank

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
08		05		2016

Mailing Address 1400 K Street, NW

City	State	Zip Code
Washington	DC	20005

Purpose of Disbursement
Credit Card Fee

001

Candidate Name

Category/
Type

Office Sought:	<input type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For:	<input type="checkbox"/> Primary	<input type="checkbox"/> General
	<input type="checkbox"/> Other (specify) ▼	

State: District:

Transaction ID : E6B545DE886E364E88D

Amount of Each Disbursement this Period

472.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

674.35

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**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 34 OF 35

<input checked="" type="checkbox"/> 21b	<input type="checkbox"/> 22	<input type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. PNC Bank

Date of Disbursement

M M	/	D D	/	Y Y Y Y Y Y
08		17		2016

Mailing Address 1400 K Street, NW

City	State	Zip Code
Washington	DC	20005

Purpose of Disbursement
Credit Card Fee

001

Candidate Name

Category/
Type

Office Sought:	<input type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For:	<input type="checkbox"/> Primary	<input type="checkbox"/> General
	<input type="checkbox"/> Other (specify) ▼	

State: District:

Transaction ID : 0C1EC0B2A43130C5BB3

Amount of Each Disbursement this Period

7.95

☐ Memo Item

Full Name (Last, First, Middle Initial)

B.

Date of Disbursement

M M	/	D D	/	Y Y Y Y Y Y

Mailing Address

City	State	Zip Code

Purpose of Disbursement

Category/
Type

Candidate Name

Office Sought:	<input type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For:	<input type="checkbox"/> Primary	<input type="checkbox"/> General
	<input type="checkbox"/> Other (specify) ▼	

State: District:

Amount of Each Disbursement this Period

--

☐ Memo Item

Full Name (Last, First, Middle Initial)

C.

Date of Disbursement

M M	/	D D	/	Y Y Y Y Y Y

Mailing Address

City	State	Zip Code

Purpose of Disbursement

Category/
Type

Candidate Name

Office Sought:	<input type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For:	<input type="checkbox"/> Primary	<input type="checkbox"/> General
	<input type="checkbox"/> Other (specify) ▼	

State: District:

Amount of Each Disbursement this Period

--

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

7.95

682.30

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 35 OF 35

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Majority Committee PAC--Mc PAC

Mailing Address PO Box 10134

City	State	Zip Code
Bakersfield	CA	93389-0134

Purpose of Disbursement
2016 Contribution

Candidate Name

Majority Committee PAC--Mc PACOffice Sought: ☐ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☐ General
☒ Other (specify) ▼

State: District:

Contribution

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
08	/	15	/	2016

Transaction ID : 8889043BD9283B3CC14

Amount of Each Disbursement this Period

5000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Stivers for Congress

Mailing Address 4679 Winterset Dr

City	State	Zip Code
Columbus	OH	43220-8113

Purpose of Disbursement
Void 06-03-2016 Contribution, 2016 General

Candidate Name

Steve StiversOffice Sought: ☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: OH District: 15

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
08	/	01	/	2016

Transaction ID : 402B6CF4390CF45B4ED

Amount of Each Disbursement this Period

-2500.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Support To Ensure Victory Everywhere PAC-Steve PAC

Mailing Address 228 S Washington St Ste 115

City	State	Zip Code
Alexandria	VA	22314

Purpose of Disbursement
2016 Contribution

Candidate Name

Support To Ensure Victory Everywhere PAC-Steve PACOffice Sought: ☐ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☐ General
☒ Other (specify) ▼

State: District:

Contribution

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
08	/	15	/	2016

Transaction ID : DC146F1860D55F719EC

Amount of Each Disbursement this Period

2500.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

5000.00
5000.00